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09/887,413	06/21/2001	Yi-Min Wang	MSI-752US	8942
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LEE & HAYES PLLC 421 W RIVERSIDE AVENUE SUITE 500 SPOKANE, WA 99201			EXAMINER RIMELL, SAMUEL G	
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1 UNITED STATES PATENT AND TRADEMARK OFFICE
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4 BEFORE THE BOARD OF PATENT APPEALS
5 AND INTERFERENCES
6

7
8 *Ex parte* YI-MIN WANG, PARAMVIR BAHL,
9 and WILF G. RUSSELL
10

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12 Appeal 2007-2388
13 Application 09/887,413¹
14 Technology Center 2100
15

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17 Decided: February 19, 2008
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21 Before LANCE LEONARD BARRY, HOWARD B. BLANKENSHIP, and
22 CAROLYN D. THOMAS, *Administrative Patent Judges*.
23

24 THOMAS, C., *Administrative Patent Judge*.
25

26 DECISION ON APPEAL
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28
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¹ Application filed June 21, 2001. The real party in interest is Microsoft Corporation.

I. STATEMENT OF THE CASE

Appellants appeal under 35 U.S.C. § 134 from a Final Rejection of claims 1-42 entered April 11, 2006. We have jurisdiction under 35 U.S.C. § 6(b).

We affirm and also use our authority under 37 C.F.R. § 41.50(b) to enter a new ground of rejection of claims 35-42 under 35 U.S.C. § 101.

A. INVENTION

Appellants invented a system, method, and computer readable medium directed to a centralized alert delivery system that receives alerts from multiple alert sources and then delivers the received alerts to the user according to one or more specified delivery modes. (Spec., Abstract.)

B. ILLUSTRATIVE CLAIMS

The appeal contains claims 1-42. Claims 1, 16, 28, and 35 are independent claims. As best representative of the disclosed and claimed invention, claims 1, 10, 16, and 35 are reproduced below:

1. A method, comprising:
receiving an alert for a user from one of multiple alert sources;
mapping the alert to a delivery mode; and
transmitting the alert to the user according to the delivery mode.
10. The method as recited in claim 1, wherein:
mapping the alert to the delivery mode further comprises:

1 mapping the alert to a primary delivery block specifying a first
2 delivery action, and a second delivery block specifying a second delivery
3 action; and

4 transmitting the alert to the user according to the delivery mode
5 further comprises:

6 transmitting the alert to the user according to the first
7 delivery action; and

8 transmitting the alert to the user according to the second
9 delivery action if transmitting the alert to the user according to the first
10 delivery action is unsuccessful.

11
12 16. A centralized alert delivery system, comprising:
13 an input/output (I/O) module configured to receive alerts from
14 multiple alert sources;

15 a mapping module configured to map an alert to a delivery
16 mode; and

17 a communications layer that interfaces to one or more
18 communications modules, the communications layer being configured to
19 receive the mapped alert and deliver the alert via a communications module
20 according to the delivery mode associated with the alert.

21
22 35. One or more computer-readable media containing computer-
23 executable instructions that, when executed on a computer, perform the
24 following:

25 receiving an alert from one of a plurality of alert sources;

26 determining a delivery mode which specifies a delivery
27 method by which the alert should be forwarded to a user; and

28 transmitting the alert to the user according to the delivery
29 mode.

1 C. REFERENCE

2 The single reference relied upon by the Examiner in rejecting the
3 claims on appeal is as follows:

4 Wagner US 6,092,102 Jul. 18, 2000
5

6 D. REJECTION

7 The Examiner entered a Final Rejection on April 11, 2006 with the
8 following rejection which is before us for review:

9 Claims 1-42 are rejected under 35 U.S.C. § 102(e) as being
10 anticipated by Wagner.
11

12 II. PROSECUTION HISTORY

13 Appellants appealed from the Final Rejection and filed an Appeal
14 Brief (Br.) on August 8, 2006. The Examiner mailed an Examiner's Answer
15 (Answer) on November 27, 2006. Appellants filed a Reply Brief (Reply Br.)
16 on January 24, 2007.
17

18 III. ISSUE

19 Whether Appellants have shown that the Examiner erred in rejecting
20 claims 1-42 as being anticipated by Wagner.
21
22
23

IV. FINDINGS OF FACT

The following findings of fact (FF) are supported by a preponderance of the evidence.

Claim Construction

1. The Specification discloses that “alert” is defined as “an electronic transmission, or delivery, of user-subscribed information to a user. . . . the user may instead register, or subscribe, to a service to receive alerts upon the occurrence of certain events.” (Spec., 2.)

2. In the Specification, “[t]he system 200 includes information alert services 202, in this example MSN MOBILE 204, E*TRADE 206 and CNN/SI 208. The system 200 also includes personal alert sources 210, for example, Web communities/data stored 212, a user location system 214, a home networking system 216 and a desktop assistant 218.” (Spec. 15.)

Wagner

3. Wagner discloses that “[t]he notification system 8 includes an information receiving function 22 of the information processing system 2 for receiving the information 16 as received information; . . . the clinical event monitor 4 which analyzes the stored information to determine an event (E) 18 and generate an alert 26 including a message data structure 27 having a message . . .” (Col. 6, ll. 23-35.)

4. Wagner discloses that “Table III shows an exemplary Type 1 preference matrix, such as employed by database 138, for a particular user.

1 . . . all labs tests . . . are communicated, for the particular user, using a 2-way
2 fail-safe pager communication channel . . .” (Col. 11, ll. 59-66.)

3 5. Wagner discloses that “the data reception sub-system 48 receives
4 information from a data generation sub-system 52, such as a service which
5 provides newly published articles (e.g., from newspapers, magazines,
6 medical journals) or the clinical information system of an affiliated
7 enterprise, . . . and the data reception sub-system 50 receives information
8 from a data generation sub-system 54, such as a laboratory information
9 system or radiology information system . . . the sub-systems 44, 46, 48, 50
10 are processor based and employ suitable open protocols, such as TCP/IP, for
11 communication with the database 24 over the communication network 42.”
12 (Col. 7, ll. 15-37.)

13 6. Wagner discloses that “[i]n addition to the exemplary preferences
14 of Table III, it will be appreciated that the user might prefer e-mail or ToDo
15 List communications at certain times of the day, and page communications
16 at other times. Similarly, surgeons may be interested in receiving only
17 articles on new surgical techniques, while pharmacists may be interested in
18 receiving only articles on new drugs.” (Col. 12, ll. 23-29.)

19 7. Wagner discloses that “for fail-safe communication channels, the
20 communication channel manager 124 accepts an acknowledgement 125 of
21 receipt of the message 38 from the user of the fail-safe communication
22 channel. If the acknowledgement 125 is not provided by the user within a
23 predefined time, then the message 38 is resent to the user and the process of

checking for the acknowledgement 125 is repeated.” (Col. 14, ll. 39-46;
Table V.)

V. PRINCIPLES OF LAW

Analysis of whether a claim is patentable over the prior art under 35 U.S.C. § 102 begins with a determination of the scope of the claim. We determine the scope of the claims in patent applications not solely on the basis of the claim language, but upon giving claims their broadest reasonable construction in light of the specification as it would be interpreted by one of ordinary skill in the art. *In re Am. Acad. of Sci. Tech. Ctr.*, 367 F.3d 1359, 1364 (Fed. Cir. 2004). The properly interpreted claim must then be compared with the prior art.

"[A]nticipation of a claim under § 102 can be found only if the prior art reference discloses every element of the claim" *In re King*, 801 F.2d 1324, 1326 (Fed. Cir. 1986) (citing *Lindemann Maschinenfabrik GMBH v. American Hoist & Derrick Co.*, 730 F.2d 1452, 1458 (Fed. Cir. 1984)). "[A]bsence from the reference of any claimed element negates anticipation." *Kloster Speedsteel AB v. Crucible, Inc.*, 793 F.2d 1565, 1571 (Fed. Cir. 1986).

"A claim is anticipated only if each and every element as set forth in the claim is found, either expressly or inherently described, in a single prior art reference." *Verdegaal Bros. v. Union Oil Co. of California*, 814 F.2d 628, 631 (Fed. Cir. 1987).

1 *Vitronics*, the Specification “is always highly relevant to the claim
2 construction analysis. Usually, it is dispositive; it is the single best guide to
3 the meaning of a disputed term.” 90 F.3d at 1582.

4 Upon our review of Appellants’ claimed limitations “alert” and “alert
5 sources” in light of Appellants’ Specification, we conclude the following:

6 Initially, we note that Appellants are contending that Wagner’s event
7 monitor (4) describes a single alert generating source (Br. 13-14). However,
8 although Wagner uses the term “alert” and also uses an event monitor (4) for
9 generating such an “alert” based on received information (FF 3), we find that
10 Appellants’ claimed “alert” is far broader than Wagner’s “alert”.

11 For instance, while Wagner’s “alert” includes a message data structure
12 having a message and partial or complete delivery instructions (FF 3),
13 Appellants define “alert” as “an electronic transmission/delivery of user-
14 subscribed information” (FF 1). Thus, we find that the claimed “alert” reads
15 on any electronically transmitted, user-requested information.

16 Secondly, Appellants define “alert sources” as including Web
17 communities/data stored, a user location system, a home networking system,
18 and a desktop assistant (FF 2). Thus, we find that the claimed “alert
19 sources” includes any source which can transmit information electronically.

The Anticipation Rejection

"Having construed the claim limitations at issue, we now compare the claims to the prior art to determine if the prior art anticipates those claims." *In re Cruciferous Sprout Litig.*, 301 F.3d 1343, 1349 (Fed. Cir. 2002).

Regarding Claim 1

Appellants contend that "Wagner does not describe 'receiving an alert for a user from one of multiple alert sources,' as claimed." (Br. 11; Reply Br. 2.) Appellants further contend that "the 'sources' described by Wagner (e.g., a la[b], news service, or individuals such as radiology staff) generate clinical *information*, from which alerts are derived, and are therefore not, in and of themselves, *alert* sources." (Reply Br. 3.)

The Examiner made the following findings:

It is first noted that this claim does not require multiple alerts, but rather, multiple sources. Claim 1 clearly invokes the generation of at least one alert that may [be] derived from multiple potential sources. . . . The alerts originate from multiple sources, such as labs, news services and radiologists (col. 11, lines 62-67; col. 7, lines 15-20; col. 6, lines 4-7).

(Answer 8.)

We agree with the Examiner.

For example, Wagner discloses information being generated from various sources, e.g., labs, newspapers, magazines, and a radiology information system. Furthermore, Wagner's information is received via

1 various electronic means, e.g., 2-way pagers and processor based using
2 TCP/IP protocols (FF 4-5). Additionally, Wagner discloses that its users can
3 choose the type of information that they are interested in receiving (FF 6).
4 As a result, Wagner's user can designate the type of information that will be
5 eventually received. We conclude that such a mechanism is in essence a
6 user-subscription feature. Therefore, we find that Wagner's electronic
7 information from various sources reads on Appellants' "alert" and "alert
8 sources" which, as noted *supra*, encompass any electronically transmitted
9 user-requested information from multiple sources.

10 We find that Wagner discloses the above noted disputed features of
11 claim 1. Therefore, we find that the Appellants have failed to show error in
12 the Examiner's rejection. Therefore, we affirm the rejection of claim 1 and
13 of claims 2-9, 11-15, and 35-42, which fall therewith.

14
15 *Regarding Claim 10*

16 Appellants contend that "Wagner only describes re-transmitting an
17 alert using the same delivery method, and not 'transmitting the alert to the
18 user according to the second delivery action if transmitting the alert to the
19 user according to the first delivery action is unsuccessful,' as recited in claim
20 10." (Br. 16.) Appellants further contend that "[t]here is nothing in Table V
21 to indicate that, 'when the primary delivery block requiring the first delivery
22 action (immediate delivery) fails, the data in the secondary block will initiate

1 the second delivery action (fail safe mode),’ as the Examiner contends.”

2 (Reply Br. 6.)

3 The Examiner made the following findings and conclusion:

4 Examiner maintains that this feature is clearly taught in reference to
5 Table V and col. 14, lines 39-46. The first delivery action is
6 immediate delivery of a message. If this fails, then the message is re-
7 sent according to the fail-safe routine, where the message is re-sent
8 repeatedly until acknowledged. It should also be particularly noted
9 that the term ‘first delivery action’ could simply refer to the first
10 initial transmission and the second delivery action could refer to the
11 next subsequent transmission.

12 (Answer 9.)

13
14 We agree with the Examiner. Claim 10, reproduced *supra*, recites,
15 “transmitting the alert to the user according to the second delivery action if
16 transmitting the alert to the user according to the first delivery action is
17 unsuccessful.” In Appellants’ Specification, delivery actions specify a
18 delivery mode (i.e., e-mail, instant messaging or short message system
19 (SMS) messaging), whether an acknowledgement to the alert is expected,
20 and a time to wait for the acknowledgement (Spec., Abstract).

21 Although Appellants’ claim 10 requires a first and second delivery
22 action, there is no requirement that the delivery actions be different from
23 each other. According to Appellants’ Specification, delivery actions specify
24 a delivery mode, whether an acknowledgement to the alert is expected, and a
25 time to wait for the acknowledgement (*Id.*)

1 Wagner discloses an embodiment that resends the message if an
2 acknowledgement of receipt is not received within a predefined time (FF 7).
3 Thus, we find that Wagner discloses first and second delivery actions (initial
4 transmission and re-transmission) that each includes a delivery mode, an
5 indication of whether an acknowledgement is expected, and a time to wait (a
6 predefined time) for the acknowledgement, whereby the second transmission
7 is made if the acknowledgement is not provided in the first transmission.

8 We find that Wagner discloses the above noted disputed features of
9 claim 10. Therefore, we find that the Appellants have failed to show error in
10 the Examiner's rejection. Therefore, we affirm the rejection of claim 10.

11
12 *Regarding Claim 16*

13 Appellants contend that "Wagner does not describe, 'an input/output
14 (I/O) module configured to receive alerts from multiple alert sources,' as
15 recited in claim 16. . . . The information (20) that is received in the Wagner
16 system is not an alert, but rather, information that can be analyzed and from
17 which an alert may be generated." (Br. 17-18.)

18 The Examiner found that the claimed input/output module is
19 equivalent to the overall system (8) in Fig. 1 of Wagner (Answer 9). We
20 agree. Appellants have not demonstrated that this finding is in error.
21 Furthermore, Appellants arguments regarding the multiple alert sources have
22 already been addressed *supra*.

1 We find that Wagner discloses the above noted disputed features of
2 claim 16. Therefore, we find that the Appellants have failed to show error in
3 the Examiner's rejection. Therefore, we affirm the rejection of claim 16 and
4 of claims 17-34, which fall therewith.

5
6 VII. NEW GROUND OF REJECTION

7 In addition to affirming the Examiner's rejection of claim 1-42 under
8 § 102(e), this decision, pursuant to our authority under 37 C.F.R. § 41.50(b),
9 contains a new ground of rejection.

10 Specifically, claims 35-42 are rejected under 35 U.S.C. § 101 because
11 the claimed invention is directed to non-statutory subject matter. Claim 35,
12 reproduced *supra*, is representative.

13 For example, claim 35 is directed to "[o]ne or more computer-
14 readable media..." and Appellants explicitly states that the "computer-
15 readable media may comprise . . . 'communications media' . . .
16 'Communication media' typically embodies computer readable instructions,
17 data structures, program modules, or other data in a modulated data signal,
18 such as carrier wave or other transport mechanism." (Spec., 14.)

19 We find that Appellants' description of a 'computer readable media'
20 explicitly implicates the use of carrier waves and signals. That said, the
21 issue, quite simply, is whether a claimed computer readable media that is
22 broad enough to include transmission-type media – a media that includes
23 carrier waves and signals – is statutory subject matter. A carrier wave or

1 signal is not statutory subject matter because it does not fall within any of
2 the four categories of statutory subject matter. *See In re Nuijten*, 500 F.3d
3 1346, 1357 (Fed. Cir. 2007). In this instance, claim 35 includes both
4 statutory and non-statutory subject matter that, according to recent proposed
5 USPTO interim guidelines, must be amended to recite solely statutory
6 subject matter.³

7 Even if as carrier wave or signal could be considered to be an article
8 of manufacture, however, we find that such a carrier wave or signal does not
9 operate as the claimed computer readable media. Claim 35, for example,
10 recites a computer readable media having instructions for causing a
11 computer to execute a method. As a result, it is our view that the computer
12 cannot perform the claimed functions while the instructions are within a
13 carrier wave or a signal. In other words, the information, while on the
14 carrier wave or signal, is unavailable to the computer for performing the
15 functions recited in claim 35.

16 For the above reasons, we find that claim 35 recites non-statutory
17 subject matter. The “media” of claims 36-42 share the same interpretations
18 as discussed *supra* for “media” in claim 35. Thus, for the reasons *supra*, we

³ See also “Interim Guidelines for Examination of Patent Applications for Patent Subject Matter Eligibility,” 1300 Off. Gaz. Pat. Office 142, Annex IV(C)(2)(Nov. 22, 2005) (“[A] claim that can be read so broadly as to include statutory and nonstatutory subject matter must be amended to limit the claim to a practical application.”).

1 conclude that claims 36-42 are also directed to non-statutory subject matter.

2

3

37 C.F.R. § 41.50(b)

4

37 C.F.R. § 41.50(b) provides that, “[a] new ground of rejection pursuant to this paragraph shall not be considered final for judicial review.”

6

37 C.F.R. § 41.50(b) also provides that the Appellants, *WITHIN TWO MONTHS FROM THE DATE OF THE DECISION*, must exercise one of the following two options with respect to the new grounds of rejection to avoid termination of proceedings (37 C.F.R. § 1.197 (b) as to the rejected claims):

10

(1) Reopen prosecution. Submit an appropriate amendment of the claims so rejected or new evidence relating to the claims so rejected, or both, and have the matter reconsidered by the examiner, in which event the proceeding will be remanded to the examiner ...

14

15

(2) Request rehearing. Request that the proceeding be reheard under 37 C.F.R. § 41.52 by the Board upon the same record ...

16

17

18

VIII. CONCLUSIONS

19

We conclude that Appellants have not shown that the Examiner erred in rejecting the claims.

21

Thus, claims 1-42 are not patentable.

22

However, since we have entered a new ground of rejection against claims 35-42, our decision is not a final agency action.

23

24

25

IX. DECISION

In view of the foregoing discussion, we affirm the Examiner's rejection of claims 1-42 and also enter a new ground of rejection for claims 35-42 under 35 U.S.C. § 101.

No time period for taking any subsequent action in connection with this appeal may be extended under 37 C.F.R. § 1.136(a). *See* 37 C.F.R. § 1.136(a)(1)(iv) (2007).

AFFIRMED
37 C.F.R. § 41.50(b)

rwk

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